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APPLICATION NO.	FI	LING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.	
09/967,121	09/967,121 09/28/2001		Peter Strong	008A.0002.U1(US)	7869	
29683	7590	03/26/2004		EXAMI	EXAMINER	
		MITH, LLP	CLEARY, THOMAS J			
4 RESEARO SHELTON,				ART UNIT	PAPER NUMBER	
,				2111	П	
				DATE MAILED: 03/26/2004		

Please find below and/or attached an Office communication concerning this application or proceeding.

COMMISSIONER FOR PATENT:
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Paper No.

Notice of Non-Compliant Amendment (37 CFR 1.121)

be cor	is considered non-compliant because it has failed to meet the requirements of TR 1.121, as amended on June 30, 2003 (see 68 Fed. Reg. 38611, Jun. 30, 2003). In order for the amendment document to mpliant, correction of the following item(s) is required. Only the corrected section of the non-compliant amendment must be resubmitted (in its entirety), e.g., the entire "Amendments to the claims" section of applicant's dment document must be re-submitted. 37 CFR 1.121(h).
THE I	FOLLOWING CHECKED (X) ITEM(S) CAUSE THE AMENDMENT DOCUMENT TO BE NON-COMPLIANT 1. Amendments to the specification:
_	A. Amended paragraph(s) do not include markings.
	B. New paragraph(s) should not be underlined. C. Other
	2. Abstract:
	□ A. Not presented on a separate sheet. 37 CFR 1.72□ B. Other
	3. Amendments to the drawings:
×	4. Amendments to the claims:
•	A. A complete listing of <u>all</u> of the claims is not present. B. The listing of claims does not include the court of all the listing of claims does not include the court of all the listing of the listing of claims.
	including of claims does not include the text of all claims (including withdrawn claims)
	C. Each claim has not been provided with the proper status identifier, and as such, the individual status of each claim cannot be identified.
	D. The claims of this amendment paper have not been presented in ascending numerical order. E. Other: Amendment to claims does not conver pound to are inal claims. Application has not been filed and ex 33.05 c 371.
For furt	ther explanation of the amendment format required by 37 CFR 1.121, see MPEP Sec. 714 and the USPTO website at
http://w	ww.uspto.gov/web/offices/pac/dapp/opla/preognotice/officeflyer.pdf
non-ent	on-compliant amendment is a PRELIMINARY AMENDMENT, applicant is given ONE MONTH from the mail date of er to supply the corrected section which complies with 37 CFR 1.121. Failure to comply with 37 CFR 1.121 will result in ry of the preliminary amendment and examination on the merits will commence without consideration of the proposed in the preliminary amendment(s). This notice is not an action under 35 U.S.C. 132, and this ONE MONTH time limit attendable.
ONE M	on-compliant amendment is a reply to a NON-FINAL OFFICE ACTION (including a submission for an RCE), and e amendment appears to be a bona fide attempt to be a reply (37 CFR 1.135(c)), applicant is given a TIME PERIOD of ONTH from the mailing of this notice within which to re-submit the corrected section which complies with 37 CFR 1.121 to avoid abandonment. EXTENSIONS OF THIS TIME PERIOD ARE AVAILABLE UNDER 37 CFR 1.136(a).
	nendment is a reply to a FINAL REJECTION, this form may be an attachment to an Advisory Action. The period for e to a final rejection continues to run from the date set in the final rejection, and is not affected by the non-compliant the amendment.
Legal In:	struments Examiner (LIE) Telephone No.
Rev. 10/0	

Interview Summary PTO 413 attached.



Application No.	Applicant(s)	
09/967,121	STRONG, PETER	
Examiner	Art Unit	
Thomas J. Cleary	2111	

Interview Summary			
	Examiner	Art Unit	<u> </u>
	Thomas J. Cleary	2111	
All participants (applicant, applicant's representative, PTO	personnel):		
(1) <u>Thomas J. Cleary - USPTO</u> .	(3)		
(2) <i>Harry F. Smith - #32,493</i> .	(4)		
Date of Interview: 24 March 2004.			
Type: a)⊠ Telephonic b)□ Video Conference c)□ Personal [copy given to: 1)□ applicant 2	2)∏ applicant's representative	:]	
Exhibit shown or demonstration conducted: d) Yes If Yes, brief description:	e)⊠ No.		
Claim(s) discussed:			
Identification of prior art discussed:			
Agreement with respect to the claims f)☐ was reached. g	n)□ was not reached. h)⊠ N	N/A.	
Substance of Interview including description of the general reached, or any other comments: <u>Amendment filed 9/28/01 Applicant will be given 1 month to submit a proper amendate shortly</u> .	I does not correspond to the o	riginally filed cla	<u>ims.</u>
(A fuller description, if necessary, and a copy of the amend allowable, if available, must be attached. Also, where no callowable is available, a summary thereof must be attached	copy of the amendments that v	reed would rend vould render the	er the claims claims
THE FORMAL WRITTEN REPLY TO THE LAST OFFICE A INTERVIEW. (See MPEP Section 713.04). If a reply to the GIVEN ONE MONTH FROM THIS INTERVIEW DATE, OR FORM, WHICHEVER IS LATER, TO FILE A STATEMENT Summary of Record of Interview requirements on reverse s	e last Office action has already THE MAILING DATE OF THI OF THE SUBSTANCE OF TH	been filed, APP S INTERVIEW S	LICANT IS SUMMARY
		AARM M. RENEMAN	DY.
	\$. (ISCAN PATENT E	Kaminer 12100
Examiner Note: You must sign this form unless it is an Attachment to a signed Office action.	Examiner's sign	nature, if required	<u></u>

U.S. Patent and Trademark Office PTOL-413 (Rev. 04-03)



Manual of Patent Examining Procedure (MPEP), Section 713.04, Substance of Interview Must be Made of Record

A complete written statement as to the substance of any face-to-face, video conference, or telephone interview with regard to an application must be made of record in the application whether or not an agreement with the examiner was reached at the interview.

Title 37 Code of Federal Regulations (CFR) § 1.133 Interviews

Paragraph (b)

In every instance where reconsideration is requested in view of an interview with an examiner, a complete written statement of the reasons presented at the interview as warranting favorable action must be filed by the applicant. An interview does not remove the necessity for reply to Office action as specified in §§ 1.111, 1.135. (35 U.S.C. 132)

37 CFR §1.2 Business to be transacted in writing.

All business with the Patent or Trademark Office should be transacted in writing. The personal attendance of applicants or their attorneys or agents at the Patent and Trademark Office is unnecessary. The action of the Patent and Trademark Office will be based exclusively on the written record in the Office. No attention will be paid to any alleged oral promise, stipulation, or understanding in relation to which there is disagreement or doubt.

The action of the Patent and Trademark Office cannot be based exclusively on the written record in the Office if that record is itself incomplete through the failure to record the substance of interviews.

It is the responsibility of the applicant or the attorney or agent to make the substance of an interview of record in the application file, unless the examiner indicates he or she will do so. It is the examiner's responsibility to see that such a record is made and to correct material inaccuracies which bear directly on the question of patentability.

Examiners must complete an Interview Summary Form for each interview held where a matter of substance has been discussed during the interview by checking the appropriate boxes and filling in the blanks. Discussions regarding only procedural matters, directed solely to restriction requirements for which interview recordation is otherwise provided for in Section 812.01 of the Manual of Patent Examining Procedure, or pointing out typographical errors or unreadable script in Office actions or the like, are excluded from the interview recordation procedures below. Where the substance of an interview is completely recorded in an Examiners Amendment, no separate Interview Summary Record is required.

The Interview Summary Form shall be given an appropriate Paper No., placed in the right hand portion of the file, and listed on the "Contents" section of the file wrapper. In a personal interview, a duplicate of the Form is given to the applicant (or attorney or agent) at the conclusion of the interview. In the case of a telephone or video-conference interview, the copy is mailed to the applicant's correspondence address either with or prior to the next official communication. If additional correspondence from the examiner is not likely before an allowance or if other circumstances dictate, the Form should be mailed promptly after the interview rather than with the next official communication.

The Form provides for recordation of the following information:

- Application Number (Series Code and Serial Number)
- Name of applicant
- Name of examiner
- Date of interview
- Type of interview (telephonic, video-conference, or personal)
- Name of participant(s) (applicant, attorney or agent, examiner, other PTO personnel, etc.)
- An indication whether or not an exhibit was shown or a demonstration conducted
- An identification of the specific prior art discussed
- An indication whether an agreement was reached and if so, a description of the general nature of the agreement (may be by attachment of a copy of amendments or claims agreed as being allowable). Note: Agreement as to allowability is tentative and does not restrict further action by the examiner to the contrary.
- The signature of the examiner who conducted the interview (if Form is not an attachment to a signed Office action)

It is desirable that the examiner orally remind the applicant of his or her obligation to record the substance of the interview of each case. It should be noted, however, that the Interview Summary Form will not normally be considered a complete and proper recordation of the interview unless it includes, or is supplemented by the applicant or the examiner to include, all of the applicable items required below concerning the substance of the interview.

A complete and proper recordation of the substance of any interview should include at least the following applicable items:

- 1) A brief description of the nature of any exhibit shown or any demonstration conducted,
- 2) an identification of the claims discussed,
- 3) an identification of the specific prior art discussed,
- 4) an identification of the principal proposed amendments of a substantive nature discussed, unless these are already described on the Interview Summary Form completed by the Examiner,
- 5) a brief identification of the general thrust of the principal arguments presented to the examiner,
 - (The identification of arguments need not be lengthy or elaborate. A verbatim or highly detailed description of the arguments is not required. The identification of the arguments is sufficient if the general nature or thrust of the principal arguments made to the examiner can be understood in the context of the application file. Of course, the applicant may desire to emphasize and fully describe those arguments which he or she feels were or might be persuasive to the examiner.)
- 6) a general indication of any other pertinent matters discussed, and
- 7) if appropriate, the general results or outcome of the interview unless already described in the Interview Summary Form completed by the examiner.

Examiners are expected to carefully review the applicant's record of the substance of an interview. If the record is not complete and accurate, the examiner will give the applicant an extendable one month time period to correct the record.

Examiner to Check for Accuracy

If the claims are allowable for other reasons of record, the examiner should send a letter setting forth the examiner's version of the statement attributed to him or her. If the record is complete and accurate, the examiner should place the indication, "Interview Record OK" on the paper recording the substance of the interview along with the date and the examiner's initials.